

PTO/SB/21 (04-04)

Approved for use through 07/31/2006. OMB 0651-0031

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**TRANSMITTAL  
FORM***(to be used for all correspondence after initial filing)*

Total Number of Pages in This Submission

21

Application Number

10/076106

Filing Date

February 13, 2002

First Named Inventor

Gregory Stephanopoulos

Art Unit

1639

Examiner Name

J. D. Epperson

Attorney Docket Number

MIN-P01-038

**ENCLOSURES (Check all that apply)**☒ Fee Transmittal Form☐ Fee Attached☐ Amendment/Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☐ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Response to Missing Parts/  
Incomplete Application☐ Response to Missing Parts  
under 37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a  
Provisional Application☐ Power of Attorney, Revocation  
Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☐ After Allowance communication  
to Technology Center (TC)☐ Appeal Communication to Board of  
Appeals and Interferences☐ Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please  
Identify below):

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Remarks

AUG 25 2004

TECH CENTER 1600/2900

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
Individual nameROPES & GRAY LLP  
Yu Lu - 50,306

Signature

Date

August 18, 2004

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: MS Petition, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: 8-18-04

Signature: Andrea Berlo

(Andrea Berlo)



PTO/SB/17 (10-03)  
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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 665.00

## Complete if Known

Application Number	10/076106
Filing Date	February 13, 2002
First Named Inventor	Gregory Stephanopoulos
Examiner Name	J. D. Epperson
Art Unit	1639
Attorney Docket No.	MIN-P01-038

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 18-1945

Deposit Account Name Ropes & Gray LLP

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$) 0.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Total Claims	** =	Extra Claims	x	Fee from below	=	Fee Paid
Independent Claims		** =		x		=	
Multiple Dependent						=	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

\*\*or number previously paid, if greater. For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	665.00
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 665.00

## SUBMITTED BY

Name (Print/Type)	Yu Lu	Registration No. (Attorney/Agent)	50,306	Telephone	(617) 951-7268
Signature		Date	August 18, 2004		

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Dated: 8/18/04 Signature: Andrea Berlo (Andrea Berlo)

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Dated: October 7, 2002

Signature: [Signature]

(Brent LaBarge)

Docket No.: MIN-P01-038  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Stephanopoulos et al.

**COPY**

Application No.: 10/076106

Group Art Unit: 1645

Filed: February 13, 2002

Examiner: Not Yet Assigned

For: DYNAMIC WHOLE GENOME SCREENING  
METHODOLOGY AND SYSTEMS

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

Box Missing Parts  
Commissioner for Patents  
Washington, DC 20231

Dear Sir:

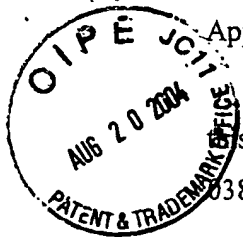
In response to the Notice to File Missing Parts of Application – Filing Date Granted mailed March 7, 2002, Applicant respectfully submits a Combined Declaration and Power of Attorney, the Filing Fee for the Application (as shown on accompanying Fee Transmittal), and a copy of the documents associated with the electronic filing of the Sequence Listing, satisfying the requirements of 37 CFR 1.821.

Please charge our Deposit Account No. 18-1945 in the amount of \$1415.00 covering the fee set forth in 37 CFR 1.16(e) and the filing fee for the subject application. The Commissioner is hereby authorized to credit any overpayment or charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in

**AUG 25 2004**

**TECH CENTER 1600/2900**





Application No.: 10/076106

Docket No.: MIN-P01-038

is application by this firm) to our Deposit Account No. 18-1945, under Order No. MIN-P01-038. A duplicate copy of this paper is enclosed.

Dated: October 7, 2002

Respectfully submitted,

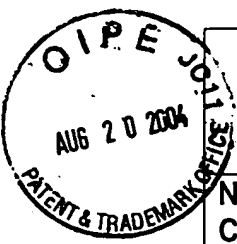
By   
Robert Mazzaresse

Registration No.: 42,852  
ROPES & GRAY  
One International Place  
Boston, Massachusetts 02110-2624  
(617) 951-7804  
(617) 951-7050 (Fax)  
Attorneys for Applicant

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AUG 25 2004

U.S. PATENT & TRADEMARK OFFICE



# Notice to Comply

Application No.

10/076,106

Applicant(s)

Stephanopoulos et al

Examiner

Jon D. Epperson

Art Unit

1639

Paper No

8

## NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant must file the items indicated below within the time period set the Office action to which the Notice is attached to avoid abandonment under 35 U.S.C. § 133 (extensions of time may be obtained under the provisions of 37 CFR 1.136(a)).

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998).
- ☒ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☒ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☒ 7. Other: e.g., see page 14, line 25. Please re-check entire specification.

### Applicant Must Provide:

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216 or (703) 308-2923

For CRF Submission Help, call (703) 308-4212

Patent Software Program Support

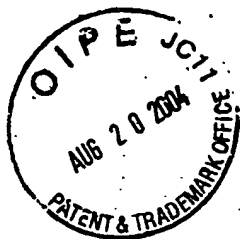
Technical Assistance.....703-287-0200

To Purchase Patent Software.....703-306-2600

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TECH CENTER 1000/2000

Via: First Class Mail	Atty Dkt No.: MIN-P01-038
Inventor: Stephanopoulos et al.	
Application No.: 10/076106	Filing Date: February 13, 2002
Title: DYNAMIC WHOLE GENOME SCREENING METHODOLOGY AND SYSTEMS	

**Documents Filed:**

Reply to Notice to Comply: Sequence Rules (2 pages)

Copy of PAIR printout (1 page)

Copy of documents filed associated with the electronic filing of Sequence Listing (9 pages)

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Sender's Initials: YL/jr	Date: November 18, 2003
--------------------------	-------------------------

Via: First Class Mail  
Inventor: Stephanopoulos et al.  
Atty Dkt No.: MIN-P01-038  
Application No.: 10/076106  
Filing Date: February 13, 2002  
Title: DYNAMIC WHOLE GENOME SCREENING METHODOLOGY AND SYSTEMS

**Documents Filed:**

Combined Declaration and Power of Attorney (12 pages)  
Petition for Extension of Time (1 page)  
Copy of documents associated with the electronic filing of Sequence Listing (6 pages)

Response to Notice to File Missing Parts of Application (2 pages)

Return copy of Notice to File Missing Parts (2 pages)

Fee Transmittal (1 page)

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AUG 25 2004

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Via: First Class Mail  
Inventor: Stephanopoulos et al.  
Atty Dkt No.: MIN-P01-038  
Application No.: 10/076106  
Filing Date: February 13, 2002  
Title: DYNAMIC WHOLE GENOME SCREENING METHODOLOGY AND SYSTEMS

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Return copy of Notice to File Missing Parts (2 pages)

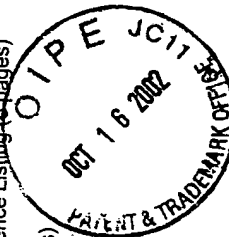
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Sender's Initials: MPV/bxl Date: October 7, 2002

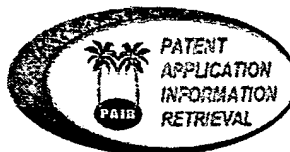




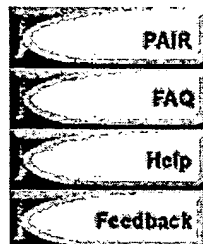
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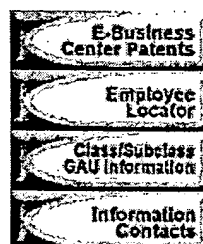
AUG 25 2004

**PATENT APPLICATION INFORMATION RETRIEVAL**

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## Other Links



Search results for application number:10/076,106			
Application Number:	10/076,106	Customer Number:	28120
Filing or 371(c) Date:	02-13-2002	Status:	Non Final Action Mailed
Application Type:	Utility	Status Date:	10-29-2003
Examiner Name:	EPPERSON, JON D	Location:	TC 1600 CENTRAL FILES, CM1-3C10
Group Art Unit:	1639	Location Date:	10-29-2003
Confirmation Number:	8521	Earliest Publication No:	US 2003-0027175 A1
Attorney Docket Number:	MIN-P01-038	Earliest Publication Date:	02-06-2003
Class/ Sub-Class:	435/006	Patent Number:	-
First Named Inventor:	Gregory Stephanopoulos, Winchester, MA (US)	Issue Date of Patent:	-
Title Of Invention:	Dynamic whole genome screening methodology and systems		

Continuity Data

Publication Review

Published Documents

File Contents History		
Number	Date	Contents Description
16	10-29-2003	Mail Miscellaneous Communication to Applicant (Count Credited)
15	10-29-2003	Miscellaneous Action with SSP
14	02-11-2003	Information Disclosure Statement (IDS) Filed
13	04-07-2003	Case Docketed to Examiner in GAU
12	10-29-2002	Application Dispatched from OIPE
11	10-28-2002	Application Is Now Complete
10	10-07-2002	A payment by the applicant to cover the cost of basic filing, claims, issue fees, etc.
9	10-07-2002	A set of symbols and procedures, provided to the PTO on a set of computer listings, that describe in
8	10-07-2002	A statement by one or more inventors satisfying the requirement under 35 USC 115, Oath of the Applic
7	10-08-2002	CRF Is Good Technically / Entered into Database
6	08-25-2002	Receipt of all Acknowledgement Letters
5	04-08-2002	Referred by L&R for Third-Level Security Review. Agency Referral Letter Generated
4	03-07-2002	Incomplete Application under Rule 53(b) - Filing Date Assigned
2	02-28-2002	IFW Scan & PACR Auto Security Review
1	02-13-2002	Initial Exam Team nn

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